



January 3, 2005

**National Crime Information Center (NCIC)
TECHNICAL AND OPERATIONAL UPDATE (TOU) 05-1**

SECTION 1 -- MESSAGE TO CJIS SYSTEMS OFFICERS	1-1
SECTION 2 -- SYSTEM CHANGES	2-1
2.1 CHANGE TO THE RETENTION OF ARTICLE FILE RECORDS	2-1
2.2 MODIFICATION OF THE NCIC SECURITIES FILE REGARDING MONEY ORDERS	2-4
2.3 CHANGES TO PERMIT EXPIRED BOAT REGISTRATION TO REMAIN IN A STOLEN BOAT RECORD FOR THE YEAR OF ENTRY PLUS 4 YEARS, EXPIRED LICENSE DATA TO REMAIN IN LICENSE PLATE FILE FOR THE YEAR OF ENTRY PLUS 4 YEARS, AND EXPIRED LICENSE DATA TO REMAIN IN ALL PERSONS FILES FOR THE YEAR OF ENTRY PLUS 4 YEARS	2-7
2.4 CHANGE IN NCIC TO DISREGARD LICENSE PLATE STATE (LIS) AND SEARCH ONLY LICENSE PLATE NUMBER (LIC) FOR FELONY VEHICLE RECORDS WHEN AN AGENCY MAKES AN INQUIRY USING BOTH THE LIC AND LIS	2-19
2.5 CHANGES TO THE ON-LINE VALIDATION PROCESS REGARDING NONVALIDATED RECORDS AND \$.F. FAILURE TO VALIDATE NOTIFICATIONS	2-21

SECTION 1 -- MESSAGE TO CJIS SYSTEMS OFFICERS

Section 2.1 provides changes to the retention of records in the Article File.

Section 2.2 contains modifications for the entry of money orders in the NCIC Securities File.

Section 2.3 provides information on a change to the NCIC system to enable expired boat registration and expired license plate information to remain in NCIC files for the year of entry plus four years.

Section 2.4 notifies NCIC users that the system will disregard the LIS and search the LIC only for felony vehicles when an inquiry is made using the LIC and the LIS.

Section 2.5 contains information on on-line validation pertaining to nonvalidated records and \$.F. Failure to Validate Notifications.

NOTE: The FBI will implement the enhancements detailed in this TOU on January 8, 2006. Additionally, the January 2006 routine monthly maintenance of the NCIC System, which is usually scheduled for the first Sunday of each month, will occur on January 8. Because the first day of 2006 falls on the first Sunday, this change is to ensure that the NCIC System will be available to law enforcement on December 31, 2005, and January 1, 2006.

* * * * *

Any questions concerning the *NCIC 2000 Operating Manual* (December 1999), *NCIC 2000 Code Manual* (December 2000), or the distribution of TOUs should be directed to the Communications Unit at (304) 625-4995.

TOUs are also available via the Internet on Law Enforcement OnLine (LEO) at www.leo.gov/lesig/cjis/programs/ncic/tous/index.shtml. Users with questions concerning access to LEO should contact the LEO Program Office at (202) 324-8833.

* * * * *

SECTION 2 -- SYSTEM CHANGES

2.1 CHANGE TO THE RETENTION OF ARTICLE FILE RECORDS

AFFECTED BY CHANGE

**Introduction
Article File**

EFFECTIVE DATE:

January 8, 2006

Background

In June 2003, the CJIS Advisory Policy Board approved a change for NCIC to retain all Article File records containing a Type (TYP) Field code beginning with ‘T’, which indicates Toxic/Hazardous Materials, until the originating agency takes action to clear or cancel the record. This enhancement will apply to NCIC Article File records with an TYP Field code beginning with ‘T’ on the effective date as well as all records entered after the effective date.

System Changes

The NCIC System change will enable NCIC to retain Article File records containing a TYP Field code beginning with ‘T’ until the originating agency takes action to clear or cancel the record or until an agency indicates that the record is located. Additions to the *NCIC 2000 Operating Manual* (December 1999) are indicated by **highlighting** and deletions are indicated by ~~strikeout~~.

INTRODUCTION

SECTION 3.4 -- VALIDATION

3. Validation Schedule

The following address only requirements for Phase 1 of NCIC validation implementation.

1. On a monthly basis, the NCIC System extracts active records on file for validation purposes. The validation includes a portion of each file and includes those records 60-90 days old. In addition, it includes any records 14-15 months old, 26-27 months old, 38-39 months old, etc. The validation schedule is as follows:

Validation:

Entries Made on:

January.....	October
February.....	November
March.....	December
April.....	January
May.....	February
June.....	March
July.....	April
August.....	May

Validation:

Entries made on:

September.....	June
October.....	July
November.....	August
December.....	September

The FBI's CJIS Division policy states that records in the Vehicle (including parts), Boat, and Gun Files **and qualifying records in the Article File** must be validated only once when they are 60-90 days old. However, CSOs can request to validate these records on the schedule listed above.

2. The NCIC System sorts records by CSAs. On a monthly basis, the CSAs are advised when a file of records to be validated can be retrieved by way of a \$.B. notification. Upon receiving this notification, the CSA has 72 hours to initiate a file transfer (FT) transaction, or the file will be deleted. It is important that a CSA request its validation file by initiating a file transfer immediately. Within the file of records to be validated, each record is presented as a \$.C. REQUEST FOR VALIDATION message. The CSA distributes the records to be validated to the ORIs as appropriate. During Phase 1 only, the ORIs have 45 days from the validation request to validate their records; thereafter, it will be 30 days.

The sequence of records included in the file is as follows:

1. Wanted/Gang/Terrorist Member
2. Missing/Unidentified
3. Vehicle/License Plate/Part/Boat
4. Gun
5. Securities
6. Protection Order
7. Convicted Person on Supervised Release
8. Convicted Sexual Offender Registry
9. **Article**

3. **Article File records containing a TYP Field code beginning with "T" will be validated as described in the Validation schedule above.** Other Article File records are not included in the validation process since they have a short retention period. All other files are subject to validation.

4. Each agency must keep in mind the synchronization of records. The records being validated will be chosen by date of entry, Eastern Standard Time (EST) into NCIC. Agencies located in a different time zone must realize that the validation will include records entered after midnight EST on the first of the month through midnight on the last day of the month. The \$.C. demonstrates the validation format.

ARTICLE FILE

SECTION 1.4 -- RECORD RETENTION PERIOD

1. A stolen article record is **containing a TYP Field code beginning with "T" will be** retained in the NCIC Article File for the balance of the year entered plus an additional year **until it is cleared or cancelled by the originating agency. All other** stolen article records are retained for the balance of the year entered plus an additional year. Following the expiration of this retention period, the record is automatically retired. For example, an article record entered in 1999 would be retired January 1, 2001.
2. An exception to record retention periods will occur in the event a serious error is detected in the record on file. Additional details concerning serious errors can be found in the Introduction chapter of this manual.
3. Ten days after the stolen article(s) in a record is reported located, it is retired.

SECTION 1.5 -- VALIDATION

Article File records containing a TYP Field code beginning with "T" must be validated. There is no validation requirement for **other** Article File records. **For validation policy and procedures, refer to the Validation Section in the Introduction of this manual.**

2.2 MODIFICATION OF THE NCIC SECURITIES FILE REGARDING MONEY ORDERS

AFFECTED BY CHANGE:

Securities File

EFFECTIVE DATE:

January 8, 2006

Background

The NCIC Securities File contains records for serially numbered stolen, embezzled, counterfeited, or used for ransom securities. The qualifying securities include Money Orders (MO) and U.S. Postal Money Orders (PM). A Securities File inquiry must include the Type (TYP), Serial Number (SER), and Denomination (DEN) Field. When an agency uses the TYP as a search parameter, the search is currently limited to that particular type or to type All other (AO). This search would prohibit a record containing TYP/MO to be returned when an inquiry is made using TYP/PM. The June 2003 CJIS Advisory Policy Board (APB) recommended that the search procedure be modified to enable the NCIC System to return all PM and MO records when an agency makes an inquiry that contains a TYP code of PM or MO when all other search criteria are met. This will enable agencies to retrieve records that may have been entered using the wrong TYP code.

Additionally, the CJIS APB noted that the NCIC System restricts the SER Field size to 10 characters when the TYP code is PM. However, PM serial numbers consist of 11 digits, with the 11th digit being

a check digit. Accordingly, the APB recommended that the first 10 digits, from left to right, be entered in the SER Field. This procedure is not addressed in the *NCIC 2000 Operating Manual* (December 1999). In an effort to ensure the SER is being entered uniformly, the June 2003 APB approved a motion to clarify the SER procedures for PM records entered in the Securities File.

System Changes

Additions to the *NCIC 2000 Operating Manual* (December 1999) are indicated by **highlighting** and deletions are indicated by ~~strikeout~~.

SECURITIES FILE

SECTION 2.5 -- MESSAGE FIELD EDITS FOR ENTRY

1. TYPE (TYP) FIELD

The code for each type of security is composed of two alphabetic characters as listed in Security Data Codes, *NCIC 2000 Code Manual* (December 2000).

To ensure accurate retrieval of information entered in the Securities File, the TYP code which most precisely describes the item being entered must be used. General codes, such as BD (bond), MO (money order), and NT (note), are appropriate for those securities which cannot be described more specifically.

2. SERIAL NUMBER (SER) DATA

The serial number must be a unique number identifying the stolen or embezzled security. If a serial number is represented by one character(s) over another character(s) (AA/B, AA) the numerator must be entered first immediately followed

B
by the denominator (e.g., AAB).

1. Serial numbers composed of alphabets, numerics, or a combination thereof must be entered omitting spaces, hyphens, commas, and symbols. For example, U.S. Savings Bond serial numbers begin with an alphabetic character and end with either one or two alphabetic characters. All of the alphabets should be included in the SER. If the serial number exceeds 18 characters, the rightmost 18 characters must be entered in the SER Field, and the complete serial number must be entered in the MIS Field.

2. **When the TYP code is PM for the U.S. Postal Money Orders, the SER Field must contain the first 10 digits of the serial number. The complete serial number should be included in the MIS Field. U.S. Postal Money Order serial numbers consist of 11 digits, with the 11th digit designated as a check digit. The 11th digit is calculated using the remainder of the sum of the first 10 digits divided by 9.**

- 2.3. When an asterisk is an integral part of a serial number, as in some U.S. currency, it is not included in the SER; rather, the comment ASTERISK SER must be placed as the first two words in the MIS Field designating the asterisk as part of the serial number.
- 3.4. Any number typed on the certificate following the name of the owner is not be to entered as a serial number. If the number typed after the name of the owner is the owner's Social Security number, it must be included in the SOC.

SECTION 5.4 -- ADDITIONAL GUIDELINES FOR INQUIRY

1. An inquiry containing BLANK in the DEN will pull only records that are entered with the word BLANK in the DEN. An inquiry containing a face value (e.g., 50 or 28-75) in the DEN could pull records that have a matching DEN or DEN/BLANK.
2. An inquiry containing TYP data will limit the search to those security entries having a matching type code or a type code of AO (All other). Use of AO pulls any record having a matching SER and DEN regardless of the TYP code in the record.
Furthermore, if the TYP is MO or PM, an NCIC search will return hits of both TYP/MO and TYP/PM records.
3. If TYP is PM (Postal Money Order), the SER Field must be ten characters **(using the first 10 digits of the serial number).**

2.3 CHANGES TO PERMIT EXPIRED BOAT REGISTRATION TO REMAIN IN A STOLEN BOAT RECORD FOR THE YEAR OF ENTRY PLUS 4 YEARS, EXPIRED LICENSE DATA TO REMAIN IN LICENSE PLATE FILE FOR THE YEAR OF ENTRY PLUS 4 YEARS, AND EXPIRED LICENSE DATA TO REMAIN IN ALL PERSONS FILES FOR THE YEAR OF ENTRY PLUS 4 YEARS

AFFECTED BY CHANGE:

**Introduction
Boat File
Foreign Fugitive File
Immigration Violator File
License Plate File
Missing Person File
Protection Order File
Convicted Sexual Offender
Registry File
Supervised Release File
Violent Gang and Terrorist
Organization File
U.S. Secret Service Protective File
Vehicle File
Wanted Person File**

EFFECTIVE DATE:

January 8, 2006

Background

The December 2003 CJIS Advisory Policy Board recommended the following changes to NCIC:

- To permit expired boat registration data to remain in a stolen boat record for the year of entry plus 4 years.
- To permit expired license data to remain in the License Plate File records for the year of entry plus 4 years.
- To permit expired license data to remain in the Persons File records for the year of entry plus 4 years.

System Changes

Additions to the *NCIC 2000 Operating Manual* (December 1999) are indicated by **highlighting** and deletions are indicated by ~~strikeout~~.

INTRODUCTION

SECTION 2.5 -- INQUIRY

6. Positive Response to an On-line Inquiry

24. If a hit response contains expired registration information, the following caveat will be included:

WARNING - THE FOLLOWING RECORD CONTAINS EXPIRED REGISTRATION DATA. USE CAUTION, CONTACT ENTERING AGENCY TO CONFIRM STATUS.

25. If a hit response contains expired license plate information, the following caveat will be included:

WARNING - THE FOLLOWING RECORD CONTAINS EXPIRED LICENSE PLATE DATA. USE CAUTION, CONTACT ENTERING AGENCY TO CONFIRM STATUS.

SECTION 2.8 -- ERROR MESSAGES

4. Following each error message is a brief explanation of the error(s) causing the message to be transmitted. A review of the edits, examples, and formats for the particular file involved in the transaction may aid in identifying the reason for an error message. The following list of error messages is in alphabetical order to assist with finding a particular error message.

REJECT - EXPIRED LICENSE PLATE YEAR OF EXPIRATION

LIY Field code is not current year, current year minus one, later than current year, or NX **for felony vehicle records.**

BOAT FILE

SECTION 1.5 -- AUTOMATIC RETIREMENT

1. Data in the REG and REY Fields of a record will be retired 1 year after the registration expires as indicated in the REY Field. A nonexpiring registration or document number (REY/NX) in a Boat File record will be retained until the entire record is retired.
2. Data in the LIC, LIY, and LIT Fields of a supplemental trailer (E.T.) record containing a VIN or ON will be retired 1 year after the license plate expires, as indicated in the LIY Field. A nonexpiring license (LIY/NX) in a supplemental boat trailer record will be retained until the entire record is retired.

3. ~~If the expired data are the only numerical identifiers contained in the record, the entire record will be retired.~~
4. Ten days after a record is located, it is retired.

SECTION 1.7 -- MESSAGE FIELD CODES AND EDITS

Code	Field	Edits
LIY	License Plate Year of Expiration	Must represent the highest year (YYYY) in which the license plate is valid. The value can be current year, current year minus one, or later than current year. Must be a valid four-character year (YYYY) or the alphabets NX to represent a nonexpiring registration.
REY	Registration Year Expiration	Must be current year, current year minus one, or greater than current year. Must be a valid four-character year (YYYY) or the alphabets NX to represent a nonexpiring registration.

SECTION 5.4 -- ADDITIONAL GUIDELINES FOR INQUIRY

8. ~~If a hit response contains expired registration information, the following caveat will be included:~~

WARNING - THE FOLLOWING RECORD CONTAINS EXPIRED LICENSE PLATE DATA. USE CAUTION, CONTACT ENTERING AGENCY TO CONFIRM STATUS.

FOREIGN FUGITIVE FILE

SECTION 1.5 -- AUTOMATIC RETIREMENT

Data in the License Plate Number (LIC), License Plate Year of Expiration (LIY), and License Plate Type (LIT) Fields ~~will remain~~ in a Foreign Fugitive File record or supplemental record ~~will be purged one year after the license plate expires as indicated in the LIY Field~~ **for the year of entry plus 4 years, provided the license information has expired.** If the expired license plate is the only searchable identifier in the Foreign Fugitive File record, ~~then~~ the entire record will be purged.

SECTION 5.5 -- ADDITIONAL GUIDELINES FOR INQUIRY

4. ~~If a hit response contains expired license plate information, the following caveat will be included:~~

WARNING - THE FOLLOWING RECORD CONTAINS EXPIRED LICENSE PLATE DATA. USE CAUTION, CONTACT ENTERING AGENCY TO CONFIRM STATUS.

IMMIGRATION VIOLATOR FILE

SECTION 1.5 -- AUTOMATIC RETIREMENT

Data in the License Plate Number (LIC), License Plate Year of Expiration (LIY), and License Plate Type (LIT) Fields ~~will remain~~ in a Immigration Violator File record or supplemental record ~~will be purged one year after the license plate expires as indicated in the LIY Field for the year of entry plus 4 years, provided the license information has expired.~~ If the expired license plate is the only searchable identifier in the Immigration Violator File record, ~~then~~ the entire record will be purged.

SECTION 5.4 -- ADDITIONAL GUIDELINES FOR INQUIRY

4. ~~If a hit response contains expired license plate information, the following caveat will be included:~~

WARNING - THE FOLLOWING RECORD CONTAINS EXPIRED LICENSE PLATE DATA. USE CAUTION, CONTACT ENTERING AGENCY TO CONFIRM STATUS.

LICENSE PLATE FILE

SECTION 1.4 -- RECORD RETENTION PERIOD

1. ~~A record for a stolen license plate will remain on file for 1 year after the end of the plate's expiration year as shown in the record.~~
- 2.1. ~~Records for nonexpiring~~ License plates ~~records~~ will remain on file for the balance of the year of entry plus an additional 4 years.
- 3.2. Serious errors will affect the retention period of a record. A serious error in this file occurs when a record contains inaccurate license data. A state Department of Motor Vehicles (DMV) where the plates are issued may compare license data with records contained in their files. If inaccuracies are detected, the state of registry notifies the entering agency so the inaccurate data can be corrected. If the error is not corrected, the state of registry should notify NCIC 2000. Upon notification from the state of registry, NCIC 2000 will cancel the record and transmit a \$.E. administrative message to the entering agency. The message provides the entire canceled record and a detailed explanation for the cancellation.

SECTION 1.7 -- MESSAGE FIELD CODES AND EDITS

Code	Field	Edits
LIY	License Plate Year of Expiration	Must represent the highest year in which the license plate is valid (YYYY). The value can be current year, current year minus 1, or later than current year. Must be a valid four-character year (YYYY) or the alphabetic NX to represent a nonexpiring registration.

SECTION 5.3 -- ADDITIONAL GUIDELINES FOR INQUIRY

5. ~~If a hit response contains expired license plate information, the following caveat will be included:~~

WARNING - THE FOLLOWING RECORD CONTAINS EXPIRED LICENSE PLATE DATA. USE CAUTION, CONTACT ENTERING AGENCY TO CONFIRM STATUS.

MISSING PERSON FILE

SECTION 1.7 -- AUTOMATIC RETIREMENT

2. Data in the License Plate Number (LIC), License Plate Year of Expiration (LIY), and License Plate Type (LIT) Fields ~~will remain~~ in a missing person base record or supplemental record ~~will be purged one year after the license plate expires as indicated in the LIY Field~~ **for the year of entry plus 4 years, provided the license information has expired.**

SECTION 1.9 -- MESSAGE FIELD CODES AND EDITS

Code	Field	Edits
LIY	License Plate Date of Expiration	Must represent the highest year (YYYY) in which the license plate is valid. The value can be current year current year minus 1, or later than current year; Must be a valid four-character year (YYYY) or the alphabetic NX to represent a nonexpiring registration.

SECTION 5.4 -- ADDITIONAL GUIDELINES FOR NONUNIQUE IDENTIFIER
INQUIRY

5. If a hit response contains expired license plate information, the following caveat will be included:

WARNING - THE FOLLOWING RECORD CONTAINS EXPIRED LICENSE PLATE DATA. USE CAUTION, CONTACT ENTERING AGENCY TO CONFIRM STATUS.

SECTION 5.8 -- ADDITIONAL GUIDELINES FOR UNIQUE IDENTIFIER INQUIRY

8. If a hit response contains expired license plate information, the following caveat will be included:

WARNING - THE FOLLOWING RECORD CONTAINS EXPIRED LICENSE PLATE DATA. USE CAUTION, CONTACT ENTERING AGENCY TO CONFIRM STATUS.

PROTECTION ORDER FILE

SECTION 1.5 -- AUTOMATIC RETIREMENT

Data in the License Plate Number (LIC), License Plate Year of Expiration (LIY), and License Plate Type (LIT) Fields **will remain** in a POF base record or supplemental record **will be** purged one year after the license plate expires as indicated in the LIY Field **for the year of entry plus 4 years, provided the license information has expired.** If the expired license plate is the only searchable identifier in the POF record, **then** the entire record will be purged.

SECTION 1.7 -- MESSAGE FIELD CODES AND EDITS

Code	Field	Edits
LIY	License Plate Year of Expiration	Must represent the highest year in which the license plate is valid (YYYY). The value can be current year, current year minus one, or later than current year. Must be a valid four-character year (YYYY) or the alphabetic NX to represent a nonexpiring registration.

SECTION 5.5 -- ADDITIONAL GUIDELINES FOR NCIC 2000 INQUIRY

6. If a hit response contains expired license plate information, the following caveat will be included:

WARNING - THE FOLLOWING RECORD CONTAINS EXPIRED LICENSE PLATE DATA. USE CAUTION, CONTACT ENTERING AGENCY TO CONFIRM STATUS.

CONVICTED SEXUAL OFFENDER REGISTRY FILE

1.4 AUTOMATIC RETIREMENT

Data in the License Plate Number (LIC), License Plate Year of Expiration (LIY), and License Plate Type (LIT) Fields **will remain** in a Convicted Sexual Offender Registry File record or supplemental record will be purged one year after the license plate expires as indicated in the LIY Field **for the year of entry plus 4 years, provided the license information has expired.**

SECTION 1.6 -- MESSAGE FIELD CODES AND EDITS

Code	Field	Edits
LIY	License Plate Year of Expiration	Must represent the highest year in which the license plate is valid (YYYY). The value can be current year, current year minus one, or later than current year. Must be a valid four-character year (YYYY) or the alphabets NX to represent a nonexpiring registration.

SECTION 5.5 -- ADDITIONAL GUIDELINES FOR INQUIRY

10. If a hit response contains expired license plate information, the following caveat will be included:

WARNING - THE FOLLOWING RECORD CONTAINS EXPIRED LICENSE PLATE DATA. USE CAUTION, CONTACT ENTERING AGENCY TO CONFIRM STATUS.

SUPERVISED RELEASE FILE**SECTION 1.4 -- AUTOMATIC RETIREMENT**

Data in the License Plate Number (LIC), License Plate Year of Expiration (LIY), and License Plate Type (LIT) Fields **will remain** in a convicted person base record or supplemental record ~~will be purged one year after the license plate expires as indicated in the LIY Field~~ **for the year of entry plus 4 years, provided the license information has expired.** If the expired license plate is the only searchable identifier in the Supervised Release File record, ~~then~~ the entire record will be purged.

SECTION 1.6 -- MESSAGE FIELD CODES AND EDITS

Code	Field	Edits
LIY	License Plate Year of Expiration	Must represent the highest year in which the license plate is valid. The value can be current year, current year minus 1 or later than current year. Must be a valid four-character year (YYYY) or the alphabetics NX to represent a nonexpiring registration.

SECTION 5.3 -- ADDITIONAL GUIDELINES FOR INQUIRY

1. ~~If a hit response contains expired license plate information, the following caveat will be included:~~

WARNING - THE FOLLOWING RECORD CONTAINS EXPIRED LICENSE PLATE DATA. USE CAUTION, CONTACT ENTERING AGENCY TO CONFIRM STATUS.

SECTION 5.3.4 -- PROCEDURES FOR HANDLING A HIT**VIOLENT GANG AND TERRORIST ORGANIZATION FILE****SECTION 9.5 -- AUTOMATIC GMC RETIREMENT**

3. Data in the License Plate Number (LIC), License Plate Year of Expiration (LIY), and License Plate Type (LIT) Fields **will remain** in a GMC record or supplemental record ~~will be purged one year after the license plate expires as indicated in the LIY Field~~ **for the year of entry plus 4 years, provided the license information has expired.** If the expired license plate is the only searchable identifier in the GMC record, ~~then~~ the entire record will be retired and the originating agency will **not** be notified.

SECTION 9.7 -- GMC MESSAGE FIELD CODES AND EDITS

Code	Field	Edits
LIY	License Plate Date of Expiration	Must represent the highest year in which the license plate is valid (YYYY). The value can be current year, current year minus one, or later than current year. Must be a valid four-character year (YYYY) or the alphabetics NX to represent a nonexpiring registration.

SECTION 13.4 -- ADDITIONAL GUIDELINES FOR GMC INQUIRY

9. ~~If a hit response contains expired license plate information, the following caveat will be included:~~

WARNING - THE FOLLOWING RECORD CONTAINS EXPIRED LICENSE PLATE DATA. USE CAUTION, CONTACT ENTERING AGENCY TO CONFIRM STATUS.

U.S. SECRET SERVICE PROTECTIVE FILE

~~SECTION 1.5 -- AUTOMATIC RETIREMENT~~

~~Data in the License Plate Number (LIC), License Plate Year of Expiration (LIY), and License Plate Type (LIT) Fields in a USSS Protective File record or supplemental record will be purged one year after the license plate expires as indicated in the LIY Field. If the expired license plate is the only searchable identifier in the USSS Protective File record, the entire record will be purged.~~

~~A nonexpiring license plate (LIY/NX) contained in a USSS Protective File record will remain on file until action is taken by the USSS to remove the license data or clear or cancel the entire record.~~

SECTION 5.4 -- ADDITIONAL GUIDELINES FOR INQUIRY

~~If a hit response contains expired license plate information, the following caveat will be included:~~

WARNING - THE FOLLOWING RECORD CONTAINS EXPIRED LICENSE PLATE DATA. USE CAUTION, CONTACT ENTERING AGENCY TO CONFIRM STATUS.

VEHICLE FILE**SECTION 1.5 -- AUTOMATIC RETIREMENT**

1. ~~Data in the License Plate Number (LIC), License Plate Year (LIY), and License Plate Type (LIT) Fields of a stolen vehicle record or add-on vehicle record containing a VIN or OAN will be retired when the vehicle record is retired 1 year after the license plate expires as indicated in the LIY Field.~~
2. ~~Nonexpiring license plate data (LIY/NX) in a stolen vehicle record will be retained until the entire record is retired.~~
3. ~~If the expired data are the only numerical identifiers contained in the record, the entire record will be retired.~~
4. Ten days after a Vehicle File record is located, it is retired.

SECTION 1.7 -- MESSAGE FIELD CODES AND EDITS

Code	Field	Edits
LIY	License Plate Year Of Expiration	Must represent the highest year (YYYY) in which of the license plate is valid. The value can be current year, current year minus 1, or later than current year; Must be a valid four-character year (YYYY) or the alphabetic NX to represent a nonexpiring registration.

5.4 ADDITIONAL GUIDELINES FOR INQUIRY

8. **~~If a hit response contains expired license plate information, the following caveat will be included:~~**

WARNING - THE FOLLOWING RECORD CONTAINS EXPIRED LICENSE PLATE DATA. USE CAUTION, CONTACT ENTERING AGENCY TO CONFIRM STATUS.

WANTED PERSON FILE

SECTION 1.5 -- AUTOMATIC RETIREMENT

4. Data in the License Plate Number (LIC), License Plate Year of Expiration (LIY), and License Plate Type (LIT) Fields **will remain** in a wanted person base record or supplemental record ~~will be purged one year after the license plate expires as indicated in the LIY Field~~ **for the year of entry plus 4 years, provided the license information has expired.** Entering agencies are **not** notified of records from which expired license data are retired. If the expired license plate is the only searchable identifier in the Wanted Person File record, the entire record will be retired, and the originating agency will **not** be notified.

SECTION 1.8 -- MESSAGE FIELD CODES AND EDITS

Code	Field	Edits
LIY	License Plate Year of Expiration	Must represent the highest year (YYYY) in which the license plate is valid. The value can be current year, current year minus 1, or later than current year; Must be a valid four-character year (YYYY) or the alphabetic NX to represent a nonexpiring registration.

SECTION 5.4 -- ADDITIONAL GUIDELINES FOR INQUIRY

13. **If a hit response contains expired license plate information, the following caveat will be included:**

WARNING - THE FOLLOWING RECORD CONTAINS EXPIRED LICENSE PLATE DATA. USE CAUTION, CONTACT ENTERING AGENCY TO CONFIRM STATUS.

2.4 CHANGE IN NCIC TO DISREGARD LICENSE PLATE STATE (LIS) AND SEARCH ONLY LICENSE PLATE NUMBER (LIC) FOR FELONY VEHICLE RECORDS WHEN AN AGENCY MAKES AN INQUIRY USING BOTH THE LIC AND LIS

AFFECTED BY CHANGE:

**Introduction
Vehicle File**

EFFECTIVE DATE:

January 8, 2006

Background

At the December 2003 CJIS Advisory Policy Board (APB) meeting, CJIS Division staff presented a topic paper recommending a change to how felony vehicles are searched using the LIC and LIS from the inquiry. As a result, the APB passed a motion that stated, "When an inquiry is made using LIC and LIS, program NCIC to disregard the LIS and search only on the LIC for felony vehicle (MKE/EF) records." This option will not filter hits based on the state. The maximum volume of hit responses will be returned if this option is implemented. Consequently, the volume of \$.H messages and secondary hit responses will increase.

System Changes

Additions to the *NCIC Operating Manual* (December 1999) are indicated by **highlighting** and deletions are indicated by ~~strikeout~~.

INTRODUCTION

SECTION 2.5 -- INQUIRY

6. Positive Response to an On-line Inquiry

26. The following caveat will be included in a felony vehicle response when the inquiry is made on LIC or LIC/LIS:

**RECORD NIC/V123456789 IS BASED ON LIC SEARCH ONLY (LIS NOT SEARCHED)
VERIFY ALL DATA BEFORE TAKING FURTHER ACTION BASED ON THIS RESPONSE.**

VEHICLE FILE

SECTION 5.3 -- REQUIREMENTS FOR INQUIRY

Inquiries can be made using the NIC only, or LIC, VIN, and OAN either separately or in combinations, such as VIN and OAN or LIC and VIN, etc. Each identifier must be preceded by its MFC. However, when making an inquiry using the OAN, the VIN must be used. Up to three numbers may be included after VIN/ (e.g., VIN, OAN, and SER). Each number must be separated by a comma with no space. An inquiry of this type will search the VIN, SER, and OAN Fields of all Vehicle, Boat, and Vehicle/Boat Part File records, as well as the VIN Field of all person records. The LIS and VMA are not required for a vehicle inquiry but **should** be included. Using the LIS will limit the search to stolen vehicle records on file containing matching LIS information and prevent unnecessary \$.H. administrative messages from being generated.

NCIC searches felony vehicle records using LIC only.

SECTION 5.4 -- ADDITIONAL GUIDELINES FOR INQUIRY

9. **The following caveat will be included in a felony vehicle response when the inquiry is made on LIC or LIC/LIS:**

**RECORD NIC/V123456789 IS BASED ON LIC SEARCH ONLY (LIS NOT SEARCHED)
VERIFY ALL DATA BEFORE TAKING FURTHER ACTION BASED ON THIS RESPONSE.**

2.5 CHANGES TO THE ON-LINE VALIDATION PROCESS REGARDING NONVALIDATED RECORDS AND \$.F. FAILURE TO VALIDATE NOTIFICATIONS

AFFECTED BY CHANGE:

**Introduction
Boat File
Foreign Fugitive File
Gun File
Identity Theft File
License Plate File
Missing Person File
Protection Order File
Securities File
Convicted Sexual Offender
Registry File
Supervised Release File
Vehicle File
Vehicle/Boat Part File
Violent Gang and Terrorist
Organization File
Wanted Person File**

EFFECTIVE DATE:

January 8, 2006

Background

In December 2002, the CJIS Advisory Policy Board (APB) recommended that on-line validation be optional and that each CJIS Systems Agency (CSA) determine its use within the CSA's jurisdiction. In June 2001, the APB recommended the following changes to the on-line validation process:

- 1) Nonvalidated records will not be retired after 30 days; they will be retired on the first Sunday of the next month.
- 2) The \$.F. Failure to Validate Notification will be changed to a warning rather than a retirement.

System Changes

The NCIC System changes will permit the CSAs to select whether they will use the on-line validation process. If a state/federal agency selects to use the on-line validation process, their records will be subject to an automated purge. If a record has not been validated within 30 days after the Date of Validation Request, the NCIC System will send a \$.F. Failure to Validate Notification to the ORI of record and the CSA. If the record is not validated by the first Sunday of the following month, the NCIC System will purge the record and generate a \$.P. Purge Failure to Validate Notification.

NCIC 2000 Operating Manual Changes

Additions to the *NCIC 2000 Operating Manual* (December 1999) and subsequent Technical and Operational Updates (TOUs) are indicated by **highlighting**, and deletions are indicated by ~~strikeout~~.

INTRODUCTION

2.9 ADMINISTRATIVE MESSAGES

\$.C. Request for Validation Notification

The request for Validation Notification, \$.C. administrative message, is generated for each record to be validated. The \$.C. messages are sent to the ~~CTA~~CSAs to be distributed to the individual ORIs.

Note: CSAs can choose to receive the records to be validated in a fixed format instead of the \$.C. notification format.

The following is an example of a \$.C. administrative message:

```
$.C.
MD1012600
NCIC VALIDATION REQUEST (19990125). YOU MUST VERIFY THE
COMPLETENESS, ACCURACY, VALIDITY, AND WILLINGNESS TO
EXTRADITE IF APPLICABLE, AND REAUTHORIZE RETENTION OF THE
BELOW RECORD WITHIN 30 DAYS OR THE RECORD WILL BE PURGED
FROM NCIC.

MKE/STOLEN VEHICLE
ORI/MD1012600 LIC/ABC123 LIS/MD LIY/1999 LIT/PC
VIN/9876543217860 VYR/1971 VMA/PONT VMO/BON VST/SW VCO/RED
OAN/12345678 DOT/19990803 OCA/56789
GANICBA00 INTEREST
NIC/V123456789 DTE/19990805 2000 EDT
```

\$.F. Failure to Validate Notification

If a state/federal agency uses the on-line validation process, this message is transmitted to the ORI of record ~~CTA~~ responsible for the ORI(s) of a record(s) when a record(s) that has not been validated is retired ~~within 30 days from the request for validation.~~

The following is an example of a \$.F. administrative message:

```
$.F.
MD1012600
NCIC VALIDATION PURGE 19990701. THE FOLLOWING RECORD HAS BEEN PURGED WILL BE
RETIRED BY THE FBI DURING THE NEXT PURGE CYCLE. DUE TO YOUR FAILURE TO
UNLESS THE RECORD IS VALIDATED PRIOR TO THE FIRST SUNDAY OF NEXT MONTH. YOU
MAY REENTER IF YOU DETERMINE THE INFORMATION IS VALID, ACCURATE AND COMPLETE.
MKE/STOLEN VEHICLE
ORI/MD1012600 LIC/ABC123 LIS/MD LIY/1999 LIT/PC
VIN/9876543345210 VYR/1972 VMA/PONT VMO/BON VST/SW VCO/RED
OAN/12345678 DOT/19990803 OCA/56789
GANICBA00 INTEREST
NIC/V123456789 DTE/19990805 2000 EDT
```

The copy of the retired ~~nonvalidated~~ record is included after the initial message. The full message is repeated for each retired ~~nonvalidated~~ record.

\$P. Purge Failure to Validate Notification

For those state/federal agencies using the on-line validation process, the NCIC System will automatically retire all records that have not been validated in the required time frame. The NCIC System generates a \$P. Purge Failure to Validate Notification that is sent to the ORI for records retired due to the failure to validate.

The following is an example of a \$P. Purge Failure to Validate Notification:

\$P.

MD1012600

NCIC VALIDATION PURGE 20060206. THE FOLLOWING RECORD HAS BEEN PURGED BY THE FBI DUE TO YOUR FAILURE TO VALIDATE. YOU MAY REENTER IF YOU DETERMINE THE INFORMATION IS VALID, ACCURATE AND COMPLETE.

MKE/STOLEN VEHICLE

ORI/MD1012600 LIC/ABC123 LIS/MD LIY/2007 LIT/PC

VIN/9876543345210 VYR/1972 VHA/PONT VHO/BON VST/SW VCO/RED

OAN/12345678 DOT/20050909 OCA/56789

NIC/V123456789 DTE/20050908 0938 EDT

SECTION 3.4 -- VALIDATION

2. Each month, CTACSA's receive a file of records to be validated. The CTACSA's in turn distribute the records to be validated to the ORIs as appropriate. On the first Saturday of the month, the NCIC System selects the records scheduled for validation. The NCIC System does not retrieve for validation those records that have been validated within the last calendar month.

The CSA selects to conduct validations on-line or to notify CJIS that validations have been completed.

If a state/federal agency uses the on-line validation process, the agency must modify each record being validated to include updated information in the Name of Validator (VLN) Field. If a record has not been validated within thirty days from the request for validation, the NCIC System will generate a \$F. Failure to Validate Notification to the ORI. The \$F. notification serves as a warning for the agency to validate the record or the NCIC System will retire the record during the next purge cycle. If the record is not validated by the first Sunday of the following month, the NCIC System will retire the record and generate a \$P. Purge Failure to Validate Notification.

Validations can be conducted—process is implemented in two phases in NCIC 2000:

1. During Phase 1 (extending 3 years after Initial Operational Capability-IOC), the users are expected to validate records as they did prior to NCIC 2000

implementation. One letter is used to acknowledge receipt of the validation material. This acknowledgment letter must be returned to FBI CJIS immediately. A second letter is for the CTA to certify that it has validated its records and/or has received certification from the originating agencies under its service jurisdiction that they have validated their records.

During Phase 1 of NCIC 2000, users have the option to validate their records on-line using a modify transaction. If the user validates the record prior to receiving a validation request, (up to one calendar month ahead of validation); that record will not be picked up during the next validation cycle. Validating on-line during Phase 1 will also help prepare users for the on-line validation process fully implemented in Phase 2. Users who choose to validate their records on-line are still required to follow current NCIC 2000 validation procedures as defined herein.

2. Phase 2 is currently scheduled to start 3 years after NCIC 2000 is operational. At that time, validation will be performed on-line only. This is accomplished by using a modify transaction in which the Name of Validator (VLN) Field is filled out. This constitutes validation and the NCIC 2000 System inserts a Date of Last Validation (VLD) in the record.

Records that have been validated within the last calendar month are not retrieved for validation during the next validation cycle.

Records that are not validated within 30 days from the request for validation or within the last 90 days will be automatically retired. The CTA will receive a \$F: notification indicating that the record is being retired due to failure to validate.

3. Validation Schedule

The following address only requirements for Phase 1 of NCIC 2000 validation implementation:

2. The NCIC 2000 System sorts records by **ETACSA**. On a monthly basis, the **ETACSA**s are advised when a file of records to be validated can be retrieved by way of a \$.B. notification. Upon receiving this notification, the **ETACSA** has 30 days to initiate a file transfer before the file will be deleted. Within the file of records to be validated, each record is presented as a \$.C. REQUEST FOR VALIDATION message. The **ETACSA** distributes the records to be validated to the ORIs as appropriate. ~~During Phase 1 only, the ORIs have 45 days from the validation request to validate their records; thereafter, it will be 30 days.~~

5. Validation Acknowledgment and Certification

~~After the 3-year transition period, IOC + 3 years, validation will be performed on-line only. Records will be automatically purged if they are not validated within the required time frame.~~

BOAT FILE

SECTION 1.6 -- VALIDATION

For validation policy and procedures, refer to the Validation Section in the Introduction of this manual.

~~A portion of the Boat File records will be validated monthly as described in the Validation Schedule of the Introduction chapter of this manual. Validation policy requires that a boat record be validated when it is 60-90 days old. For NCIC 2000 validation, each boat record that has not been validated within the last 90 days and has a Date of Validate Request older than 30 days will be automatically retired. A \$.F. Failure to Validate Notification will be sent to the entering agency and the Control Terminal Agency (CTA) of the state of entry.~~

FOREIGN FUGITIVE FILE

SECTION 1.6 -- VALIDATION

For validation policy and procedures, refer to the Validation Section in the Introduction of this manual.

~~A portion of the Foreign Fugitive File records will be validated monthly as described in the Validation Schedule of the Introduction chapter of this manual. For NCIC 2000 validation, each foreign fugitive record that has not been validated within the last 90 days and has a Date of Validate Request older than 30 days will be automatically retired. A \$.F. Failure to Validate~~

SECTION 2 -- SYSTEM CHANGES

Notification will be sent to the entering agency's Control Terminal Officer or Federal Service Coordinator.

GUN FILE

SECTION 1.5 -- VALIDATION

For validation policy and procedures, refer to the Validation Section in the Introduction of this manual

A portion of the Gun File records will be validated monthly as described in the validation schedule in the Introduction chapter of this manual. For NCIC 2000 validation, each gun record that has not been validated within the last 90 days and has a Date of Validate Request older than 30 days will be automatically retired. A \$.F. Failure to Validate Notification will be sent to the entering agency and the Control Terminal Agency of the state of entry.

IDENTITY THEFT FILE

SECTION 1.5 -- VALIDATION

For validation policy and procedures, refer to the Validation Section in the Introduction of this manual

A portion of the Identity Theft File records will be validated monthly as described in the Validation Schedule in the Introduction chapter of this manual.

LICENSE PLATE FILE

SECTION 1.6 -- VALIDATION

For validation policy and procedures, refer to the Validation Section in the Introduction of this manual

A portion of the license plate records in this file will be validated monthly as described in the Validation Schedule in the Introduction chapter of this manual. Validation policy requires that a license plate record be validated when it is 60-90 days old. For NCIC 2000 validation, each license plate record that has not been validated within the last 90 days and has a Date of Validate Request older than 30 days will be automatically retired. A \$.F. Failure to Validate Notification will be sent to both the entering agency and the Control Terminal Agency (CTA) in the state of entry.

MISSING PERSON FILE

SECTION 1.8 -- VALIDATION

For validation policy and procedures, refer to the Validation Section in the Introduction of this manual

A portion of the Missing Person File records will be validated monthly as described in the Validation section of the Introduction chapter of this manual. For NCIC 2000 validation, each missing person record that has not been validated within the last 90 days and has a Date of Validate Request older than 30 days will be automatically retired. A \$.F. Failure to Validate Notification will be sent to the entering agency and the Control Terminal Agency of the state of entry.

PROTECTION ORDER FILE

SECTION 1.6 -- VALIDATION

For validation policy and procedures, refer to the Validation Section in the Introduction of this manual

A portion of the POF records will be validated monthly as described in the Validation Schedule in the Introduction Chapter of this manual. For NCIC 2000 validation, each POF record that has not been validated within the last 90 days and has a Date of Validate Request older than 30 days will be automatically retired. A \$.F. Failure to Validate Notification will be sent to the entering agency and the CTA of the state of entry.

SECURITIES FILE

SECTION 1.5 -- VALIDATION

For validation policy and procedures, refer to the Validation Section in the Introduction of this manual

A portion of the Securities File records will be validated monthly as described in the Validation Schedule of the Introduction chapter of this manual. Validation policy requires that a security record be validated when it is 60-90 days old. For NCIC 2000 validation, each security record that has not been validated within the last 90 days and has a Date of Validate Request older than 30 days will be automatically retired. A \$.F. Failure to Validate notification will be sent to the entering agency and the Control Terminal Agency (CTA) in the state of entry.

CONVICTED SEXUAL OFFENDER REGISTRY FILE

SECTION 1.5 -- VALIDATION

For validation policy and procedures, refer to the Validation Section in the Introduction of this manual

A portion of the Convicted Person on Supervised Release File records will be validated monthly as described in the Validation Schedule of the Introduction chapter of this manual. For NCIC 2000 validation, each Convicted Person on Supervised Release File record that has not been validated within the last 90 days and has a Date of Validate Request older than 30 days will be automatically retired. A \$.F. Failure to Validate Notification will be sent to the entering agency and Control Terminal Agency in the state of entry.

SUPERVISED RELEASE FILE

SECTION 1.5 -- VALIDATION

For validation policy and procedures, refer to the Validation Section in the Introduction of this manual

A portion of the Supervised Release File records will be validated monthly as described in the Validation Schedule of the Introduction chapter of this manual. The Name of Validator (VLN) Field will be returned only when the requester of the record is the entering agency. For all other inquiries, the VLN Field will be suppressed.

VEHICLE FILE

SECTION 1.6 -- VALIDATION

For validation policy and procedures, refer to the Validation Section in the Introduction of this manual

A portion of the Vehicle File records will be validated monthly as described in the Validation Schedule of the Introduction chapter of this manual. Validation policy requires that a vehicle record be validated when it is 60-90 days old. For NCIC 2000 validation, each vehicle record that has not been validated within the last 90 days and has a Date of Validate Request older than 30 days will be automatically retired. A \$.F. Failure to Validate Notification will be sent to the entering agency and the Control Terminal Agency in the state of entry.

VEHICLE/BOAT PART FILE

SECTION 1.5 -- VALIDATION

For validation policy and procedures, refer to the Validation Section in the Introduction of this manual.

A portion of the Vehicle/Boat Part File records will be validated monthly as described in the Validation Schedule of the Introduction chapter of this manual. Validation policy requires that a vehicle/boat part record be validated when it is 60-90 days old. For NCIC 2000 validation, each vehicle/boat part record that has not been validated within the last 90 days and has a Date of Validate Request older than 30 days will be automatically retired. A \$.F. Failure to Validate Notification will be sent to the entering agency and the Control Terminal Agency in the state of entry.

VIOLENT GANG AND TERRORIST ORGANIZATION FILE

SECTION 9.6 -- GMC VALIDATION

For validation policy and procedures, refer to the Validation Section in the Introduction of this manual.

A portion of the GMC records will be validated monthly as described in the Validation Schedule of the Introduction chapter of this manual. For NCIC 2000 validation, each GMC record that has not been validated within the last 90 days and has a Date of Validate Request older than 30 days will be automatically retired. A \$.F. Failure to Validate Notification will be sent to the entering agency and the CTA in the state of entry.

WANTED PERSON FILE

SECTION 1.6 -- VALIDATION

For validation policy and procedures, refer to the Validation Section in the Introduction of this manual.

A portion of the Wanted Person File records will be validated monthly as described in the Validation Schedule of the Introduction chapter of this manual. For NCIC 2000 validation, each person record that has not been validated within the last 90 days and has a Date of Validate Request older than 30 days will be automatically retired. A \$.F. Failure to Validate Notification will be sent to the entering agency and the Control Terminal Agency in the state of entry.